

Case Tracking Form (CTF)

Applicant Name:

DUNS:

VIP NAICS Code Size Range:

Primary line of work: - use primary NAICS from SAM

0877 signed on:

Ownership:

Applicant History:

Assessor/Analyst Name:

Email:

Phone:

Date registration initiated:

Date review completed:

Analyst's Initial Recommendation (check one):


1. Approve:
2. Initiate Post-Review Findings (PRF) Process:

Analyst's Final Recommendation/Outcome (check one):

1. Approve:
2. Deny (Post-PRF):
3. Withdraw:

Welcome Call Checklist

[Currently separate database]

 <div>U.S. Department of Veterans Affairs</div>	
<div>Intake Team Member : Date Assigned : <input type="text"/></div>	
<div><u>Document Stage</u> Trial : <input checked="" type="checkbox"/> Production : <input type="checkbox"/> Re-verification : <input type="checkbox"/></div>	
DUNS : <input type="text"/>	
Company Name : <input type="text"/>	
Veteran Name : <input type="text"/> (last, first)	
Phone : <input type="text"/>	
Email : <input type="text"/>	
<div>Date Confirmation Email Sent to Veteran : <input type="text"/> Date Firm Sent Registration Request : <input type="text"/> Date Assigned : <input type="text"/></div>	<div><u>Document Checklist</u> Analyst Introduction : <input type="checkbox"/> Further assistance: <input type="checkbox"/> Overview of Process : <input type="checkbox"/> Document Explanation : <input type="checkbox"/> DBA : <input type="checkbox"/> Majority Owner : <input type="checkbox"/> Profile/0877 Creation : <input type="checkbox"/> Document Upload : <input type="checkbox"/> Next Step : <input type="checkbox"/> Email Attachment : 📎 No file attached</div>

<p>Business Type : <input type="text"/></p> <p>Required PQA Documents :</p>	<p>Webinar Options : <input type="text"/></p>
<p>Application Type : <input type="text"/></p>	<p>Counselor Referral : <input type="text"/></p>
<p>Analyst : <input type="text"/></p>	
<p>Date of call : <input type="text"/> <input type="text"/></p> <p>Remarks : <input type="text"/></p> <p>Date of call: <input type="text"/> <input type="text"/></p> <p>Remarks : <input type="text"/></p>	

PUBLIC RESEARCH

Company Name:
DBA:
DUNS:
Year Established:
Address:
Phone:
Fax:
Website:

Owners (Name, Vet Status, % owned)

PERSON, VET/NONVET/SDV, XXX %, 0877 signed xxxxxx
PERSON, VET/NONVET/SDV, XXX %, 0877 signed xxxxxx
PERSON, VET/NONVET/SDV, XXX %, 0877 signed xxxxxx
PERSON, VET/NONVET/SDV, XXX %, 0877 signed xxxxxx

VIP NAICS codes:

VCMS Duplicate Owner Tab

Date:
Results: No duplicate ownership found

Federal Lien Information: 38 CFR §74.2(d) Federal financial obligations. Neither a firm nor any of its eligible individuals that fails to pay significant financial obligations owed to the Federal Government, including unresolved tax liens and defaults on Federal loans or other Federally assisted financing, is eligible for VetBiz VIP Verification.

SAM: No Federal outstanding obligations were identified.

(Show Screen Shot)

D&B: No Federal outstanding obligations were identified.

(Show Screen Shot)

D&B

Address:
Phone:
Officers:
History:
Liens & Judgments: No judgments or liens found.

SAM

Liens & Judgments: No delinquent federal debt; no active exclusion records.
Address:
Mailing Address:
Self-Certifications:
Attesting Agent:
Contact Person:

SBA

Contact Person:
Address:
Phone:
Fax:
Legal Structure:
Self-Certifications:
Current Principals:
Primary NAICS:

SOS

Date Checked:
State:
Date registered:
Status:
Officers:
Registered Agent:

LinkedIn

Name:
Current:

Name:
Current:

Firm Website:

Address:
Phone:
Fax:
Management:
Other info:

Google (VETBiz profile information)

Address –

- Findings

Phone –

- Findings

Fax –

- Findings

Google (Additional Findings)

Address (??Where did you find this??) –

- Findings

Phone (????) –

- Findings

Fax (????)–

- Findings

The VIP profile indicates **xxx**, SDV/VET, as the **xx**% owner of **xxx**. VCMS did not report duplicate ownership. The VIP profile lists DBA **xxx**. The company was formed in the State of **xxx** on **xxx** and is currently “Active”. There are no reports of any outstanding federal debt. The online profiles identify **xxx** as the point of contact. The LinkedIn profile for **xxx** (does not report) reports outside employment as **xxx**. The Google searches for the business address indicated associations with **xxx** and the phone/fax number was associated with **xxx**.

Does the Public Research reveal any issues that would preclude the applicant from advancing to the next stage of the verification process?

If no, continue to next step.

If yes, provide justification for Public Research Withdrawal and END PROCESS:

CCCR ☐ CCCR Date:

[PRRR] (.2 CE)

Pre-Qualification Document Review Checklist

Pre-Qualification Documents Required:

Document 1: Sufficient ☐ if no, deficiency:

Document 2: Sufficient ☐ if no, deficiency:

Document 3: Sufficient ☐ if no, deficiency:

PRE-QUALIFICATION REPORT

Did the Interview reveal any issues that would preclude the applicant from advancing to the next stage of the verification process?

If no, continue to next step.

If yes, provide justification for Post-Interview Withdrawal and END PROCESS:

CCCR ☐ CCCR Date:

[PIRR] (.35 CE)

PQA Report

ANALYST:

COMPANY NAME:

DUNS:

This report is part of the Center for Verification and Evaluation's (CVE) MyVA Verification Pre-Qualification screening process. It does not reflect a full assessment of **Name of Company**'s verification eligibility. This report is limited to the information obtained and reviewed during the Pre-Qualification process. Once overcoming any issues identified in this report, you will be requested to submit the remaining required documents. Providing the remaining required documents will allow CVE to conduct a complete assessment of **Name of Company**'s verification eligibility. Please note that overcoming any issues identified in this report does not guarantee a finding of eligibility, as new issues may be discovered during the full assessment.

Issues Found: ☐ N/A

[Present issue(s) in the same format as the PRF template]

Options for addressing the issue(s): ☐ N/A

Case Notes/Interview responses

Business Type: Choose an item.

Phone Number: (State: for time zone purposes)

Veteran(s) name:

Reps Name:

History? Choose an item.

NOTES:

Articles of Formation/Organization

☒ N/A

Date of Formation:

State of Formation: Choose an item.

SOS Website: Choose an item.

Need Certificate? Choose an item.

DBA on VIP? Choose an item.

Ask Applicant is DBA Registered? **Need DBA Certificate?** Choose an item.

Auto Forfeiture Provision? Choose an item.

Need FDR For License(s)? Choose an item.

Need Stamped Articles? Choose an item.

Articles of Incorporation

☐ N/A

Date of Formation:

State of Formation: Choose an item.

SOS Website: Choose an item.

Need Certificate? Choose an item.

DBA on VIP? Choose an item.

Ask Applicant is DBA Registered? **Need DBA Certificate?** Choose an item.

Need DBA Certificate?

Auto Forfeiture Provision? Choose an item.

Need FDR For License(s)? Choose an item.

Need Stamped Articles? Choose an item.

Direct Ownership

0877 % of Ownership:

Operating Agreement:

Other Ownership Document:

Confirm during call: Choose an item.

Confirm Direct? (Not Stock Plan, entity, Trust?) Choose an item.

FDR needed for Stock Ledger/Certificates? Choose an item.

Community Property

☐ N/A

What State does Veteran reside? Non CP Jx? Choose an item.

Articles of Formation/Organization

Community Property Jurisdiction? Choose an item.

Explain requirement and Need to Request for FDR: Choose an item.

FDR Needed for 2014 Tax Return? Choose an item.

FDR needed for Waiver? Choose an item.

Day to Day Control

- a. Does the applicant have a bank account and is the Veteran an authorized signer?
Answer: Choose an item.
Signers:
FDR Needed for Bank Signature Card? Choose an item.
- b. Who usually signs the checks: FDR Checks? Choose an item.
Answer:
- c. Does the applicant have any contracts or proposals available? Did the Veteran sign all or most? FDR Contracts/Proposals? Choose an item.
Answer:
- d. Does your company operate from a commercial office or home office space? Did the Vet sign the lease or is it the Vet's residence? FDR YES!
ADDRESS ON VIP:
Answer:
- e. If the Vet resides in a different location from the applicant how does he maintain control/management? FDR? Choose an item.
Answer:

Highest compensation

- a. How many employees (estimate)?
- b. Have you issued payroll? Choose an item.
- c. Will last year's payroll records indicate the Veteran is the highest paid?
- d. If no, will combining distributions make the Veteran the highest paid
- e. If no, how does the applicant benefit by the Veteran receiving lower compensation?

FDR Payroll? Choose an item.

FDR LOE for Pay? Choose an item.

FDR 941? Choose an item.

Operating Agreement with all amendments

- ☐ N/A
- a. Any Automatic Forfeitures? Choose an item.
- b. Does the Veteran have the controlling vote? Choose an item.
- c. Can the Veteran make Amendments? Choose an item.

FDR Signed OA? Choose an item.

Shareholder's Agreement

- ☐ N/A
- a. Does the applicant have a SH agreement? Choose an item.

Articles of Formation/Organization

- b. Any Automatic Forfeitures? Choose an item.
- c. Does the Veteran have the controlling vote? Choose an item.
- d. Can the Veteran make Amendments? Choose an item.

FDR Shareholder Agreement? Choose an item.

Bylaws

- ☐ N/A
- a. Any Automatic Forfeitures? Choose an item.
- b. Does the Veteran have the controlling vote? Choose an item.
- c. Can the Veteran make Amendments? Choose an item.

Minutes-Director? Choose an item.

Minutes adoption? Choose an item.

Highest Officer

- ☐ N/A
- a. Does the governing documents indicate the Veteran is the highest officer? Choose an item.

FDR Minutes-Officer? Choose an item.

Resumes

- ☒ N/A
- a. What kind of services does your business provide?
- b. Does the Veteran have the experience to manage the applicant?
- c. Any additional employment/ownership identified

FDR Needed updated resume(s) or other owner? Choose an item.

Full-Time Management

- a. How many hours a week on average does the Veteran work for the applicant?
Answer:
- b. Any additional ownership/employment?
 - Resume?
 - Research?
 - **Confirm during Call:**
- c. If so, how much time is dedicated to the entity and how is the Veteran able to maintain control of the applicant? (works remote, flexible schedule, etc.)

FDR Needed for Hours? Choose an item.

FDR Needed for Outside Employment? Choose an item.

Undue Influence

1. Entities found during public research:
2. Any location issues?
3. Does your company share any employees, equipment, phone lines, website, email services, business location, or contracts for service with any other company?
4. Does the applicant pay for any shared services?

FDR Needed for Outside Entity found? Choose an item.

Required Document Checklist

1.1	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
1.2	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
2.1	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
2.4	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
2.5	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
2.6	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
2.7	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
3.1	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.1	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.10	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.3	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.4	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.5	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.6	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.8	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>
4.9	Required	<input type="checkbox"/>	Sufficient	<input type="checkbox"/>

Letters of Explanation Required:

NB:

Suspense Date:

Extension Date:

CCCR ☐ If yes, provide reason:

CCCR Date: [RDRR] (.5 CE)

LEGAL ORGANIZATION

Is the applicant currently in Good Standing/Active with its state of Domestic Incorporation?

YES

Have all the requirements of 38 CFR § 74.1 and FAR 19.001 been met? **YES**

Requirement:

38 CFR § 74.1 - Small business concern is—CVE applies the small business concern definition established by 48 CFR 2.101.

48 CFR § 2.101 - Small business concern means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria and size standards in 13 CFR part 121 (see FAR19.102).

FAR 19.001 - “Concern” means any business entity organized for profit (even if its ownership is in the hands of a nonprofit entity) with a place of business located in the United States or its outlying areas and that makes a significant contribution to the U.S. economy through payment of taxes and/or use of American products, material and/or labor, etc. “Concern” includes but is not limited to an individual, partnership, corporation, joint venture, association, or cooperative.

Assessor Conclusion:

**Articles of Incorporation / Organization:
Statement of Good Standing:**

State Corporation Records:

Business License or LOE:

OWNERSHIP - 38 CFR § 74.3

Have all the requirements of 38 CFR § 74.3 been met? **YES or NO**

Requirement:

38 CFR § 74.3(a) Ownership must be direct

38 CFR § 74.3(b) Ownership must be unconditional

38 CFR § 74.3(d) Profits and distributions - One or more veterans or service-disabled veterans must be entitled to receive at least 51 percent of the annual distribution of profits.

38 CFR § 74.3(f) Community property

Ownership must be direct 38 CFR § 74.3(a)

Assessor Conclusion:

Tax Documents - 1125-E Form, Schedule C, Schedule G, or K-1's:

Articles of Incorporation / Organization:

Bylaws / Shareholders Agreement / Operating Agreement / Partnership Agreement:

Stock Certificate and Stock Ledger:

Meeting Minutes:

Ownership must be unconditional 38 CFR § 74.3(b)

Assessor Conclusion:

Bylaws / Shareholders Agreement / Operating Agreement / Partnership Agreement:

Profits and distributions 38 CFR § 74.3(d)

Assessor Conclusion:

Bylaws / Shareholders Agreement / Operating Agreement / Partnership Agreement:

State Provisions:

Tax Documents - 1125-E Form, Schedule C, Schedule G, or K-1's:

Community property 38 CFR § 74.3(f)

Assessor Conclusion:

1040 Personal Taxes:

Community Property Waiver or Pre-Nuptial Agreement:

CONTROL - 38 CFR § 74.4

Have all the requirements of 38 CFR § 74.4 been met? YES

Requirement:

38 CFR § 74.4(a) Control means both the day-to-day management and long-term decision-making authority for the VOSB.

38 CFR § 74.4(b) An applicant or participant's management and daily business operations must be conducted by one or more veterans or service-disabled veterans. Individuals managing the concern must have managerial experience of the extent and complexity needed to run the concern.

38 CFR § 74.4(c)(1) An owner engaged in employment or management outside the applicant concern must submit a written statement supplemental to the application which demonstrates that such activities will not have a significant impact on the owner's ability to manage and control the applicant concern.

38 CFR § 74.4(c) (2) An eligible full-time manager must hold the highest officer position (usually President or Chief Executive Officer) in the applicant or participant.

38 CFR § 74.4(c) (3) One or more veterans or service-disabled veteran owners who manage the applicant or participant must devote full-time to the business during the normal working hours

38 CFR § 74.4(f) One or more veterans or service-disabled veterans must control the board of directors of a corporate applicant or participant.

38 CFR § 74.4(g) (3) The highest ranking officer may elect to take a lower salary than a non-veteran only upon demonstrating that it helps the applicant or participant.

Day-to-Day Control 38 CFR § 74.4(a)

Assessor Conclusion:

Bank Signature Card:

Cancelled Checks LOE or answer Questions below:

If checks provided –

- How many checks were submitted?
- Who signed the checks?
- How many checks signed by each person?

Lease Agreement or LOE:

Lease Payments LOE or answer Questions below:

If lease checks provided –

- How many checks were submitted?
- Who signed the checks?
- How many checks signed by each person?

Contracts LOE or answer Questions below:

If contracts provided –

- How many contracts were submitted?
- Who signed the contracts?
- How many contracts were signed by each person?

Meeting Minutes (delegation of Authority):

Online Research (SAM, SBA, D&B, SOS, Firm Website):

Additional LOE's:

Managerial Experience 38 CFR § 74.4(b)

Assessor Conclusion:

Resume:

LinkedIn:

Trade Licenses / Certifications or LOE:

Additional LOE's:

Outside Employment 38 CFR § 74.4(c) (1)

Assessor Conclusion:

Resume: - provide reference from resume under managerial experience

LinkedIn: - provide reference from LinkedIn under managerial experience

Personal Taxes (Schedule C / Schedule E / W2s):

Outside Employment LOE:

Additional LOE's:

Highest Officer Position 38 CFR § 74.4(c) (2)

Assessor Conclusion:

Meeting Minutes:

Bylaws / Operating Agreement / Partnership Agreement:

Articles of Organization / Incorporation:

Full-Time 38 CFR § 74.4(c) (3)

Assessor Conclusion:

Full-time LOE:

Payroll hours:

Additional LOE's:

Control of Decision Making 38 CFR § 74.4(f)

Assessor Conclusion:

Meeting Minutes:

Bylaws / Operating Agreement / Shareholders Agreement / Partnership Agreement:

Amendments:

Articles of Organization / Incorporation:

Highest Paid 38 CFR § 74.4(g) (3)

Assessor Conclusion:

Payroll / W2s / K-1's:

Letter of Explanation:

CONTROL - Undue Influence/Undue Dependence

Have all the requirements of 38 CFR § 74.4(i) been met? **YES**

Requirement:

38 CFR § 74.4(i) - Non-veterans or entities may be found to control or have the power to control in any of the following circumstances, which are illustrative only and not all inclusive:

- (c) A non-veteran or entity controls the applicant or participant or an individual veteran owner through loan arrangements. Providing a loan guaranty on commercially reasonable terms does not, by itself, give a non-veteran or entity the power to control a firm.
- (d) Business relationships exist with non-veterans or entities that cause such dependence that the applicant or participant cannot exercise independent business judgment without great economic risk.

Assessor Conclusion:

Resume:

Outside Employment LOE:

Lease Agreement or Lease LOE:

Trade Licenses / Certifications or LOE:

Research Summary:

Additional Google Research:

Applicant Website:

Duplicate Owners Tab:

Additional LOE's: (Pertains to failure to provide clarifying documents)

CCCR ☐ if yes, provide reason:

CCCR Date:

[CDRR] (.8 CE)

SBA Size Standard "Small Business"

Have the requirements of 38 CFR § 74.13(d) & 13 CFR §121 been met? **YES**

Requirement:

38 CFR § 74.13(d) - The applicant business must qualify as a Small Business Concern per the SBA guidelines

13 CFR §121.101(a) - SBA's size standards define whether a business entity is small and, thus, eligible for Government programs and preferences reserved for "small business" concerns. Size standards have been established for types of economic activity, or industry, generally under the North American Industry Classification System (NAICS).

VIP NAICS Codes		
NAICS	Description	Size Standard

Assessor Conclusion:

Business Taxes or Personal Taxes:

941 Form:

Document Review Summary

Did the Document Review reveal any issues that would preclude the applicant from being verified?

If no, complete the recommendation for approval and END PROCESS.

If yes, initiate the PRF (Post-Review Findings) Process.

CCCR ☐ [PFWR] (1.0 CE)

Date PRF Email sent:

Excerpt from PRF Email:

Post-PRF Analysis:

Did the PRF response resolve the issue(s)?

If yes, complete the recommendation for approval and END PROCESS.

If no, initiate the Final PRF Email.



CCCR [CAR] (1.0 CE)

Date Final PRF Email sent:

Excerpt from Final PRF Email:

Outcome:

CCCR ☐ Reason for voluntary withdrawal: (if known)